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Image# 201609209030971828

**FEC** FORM 3X

### **REPORT OF RECEIPTS AND DISBURSEMENTS**

	or Other Than An A	authorized Committee	Office Use Only
1. NAME OF COMMITTEE (in full)	TYPE OR PRINT ▼	Example: If typing, type over the lines.	12FE4M5
Securities Industry and	Financial Markets	Association Political Ac	tion Committee
ADDRESS (number and street)	1101 New York Avenue,	NW	
Check if different	8th Floor		
than previously reported. (ACC)	Washington		DC 20005 -
2. FEC IDENTIFICATION NU	IMBER ▼	CITY 🛦	STATE ▲ ZIP CODE ▲
C C00431312	3.	IS THIS REPORT (N) OI	AMENDED (A)
4. TYPE OF REPORT (Choose One)	Report Due On:	Feb 20 (M2) May 20 (M	(Non-Election Year Only)
(a) Quarterly Reports:		Mar 20 (M3) Jun 20 (M	(Non-Election Year Only)
April 15 Quarterly Report (Q		Apr 20 (M4) Jul 20 (M7	Oct 20 (M10) Jan 31 (YE)
July 15 Quarterly Report (Q	PRE-Election	Primary (12P)	General (12G) Runoff (12R)
October 15 Quarterly Report (Q	Report for the	: Convention (12C)	Special (12S)
January 31 Year-End Report (Y	E)Ele	ection on	in the State of
July 31 Mid-Year Report (Non-election Year Only) (MY)	(d) 30-Day POST-Election Report for the		Runoff (30R) Special (30S)
Termination Report (TER)	Ele	ection on	in the State of
5. Covering Period 08		6 through 08	M / D D / Y P Y P Y P Y B Y B Y B Y B Y B Y B Y B
I certify that I have examined thi	is Report and to the best	of my knowledge and belief it is	true, correct and complete.
Type or Print Name of Treasurer	Mr. Kenneth E. Bentsen	Jr.	
Signature of Treasurer Mr. K	Cenneth E. Bentsen Jr.	[Electronically Filed]	Date 09 / 20 / 2016
NOTE: Submission of false, errone	eous, or incomplete informa	ation may subject the person signin	g this Report to the penalties of 2 U.S.C. §437g.
Office Use Only			FEC FORM 3X Rev. 12/2004

### SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003) Page 2

Write or Type Committee Name

#### Securities Industry and Financial Markets Association Political Action Committee

80 2016 08 2016 Report Covering the Period: 31 From: To: **COLUMN A COLUMN B** This Period Calendar Year-to-Date (a) Cash on Hand 95134.17 January 1. 2016 (b) Cash on Hand at 76212.88 Beginning of Reporting Period..... 44065.19 287099.03 (c) Total Receipts (from Line 19) ..... (d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 382233.20 120278.07 6(a) and 6(c) for Column B)..... 5682.30 267637.43 Total Disbursements (from Line 31)...... Cash on Hand at Close of 8. Reporting Period 114595.77 114595.77 (subtract Line 7 from Line 6(d))..... Debts and Obligations Owed TO the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) ..... 10. Debts and Obligations Owed BY the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) ..... This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

#### For further information contact:

Federal Election Commission 999 E Street, NW Washington, DC 20463

Toll Free 800-424-9530 Local 202-694-1100

#### **DETAILED SUMMARY PAGE**

of Receipts

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

#### Securities Industry and Financial Markets Association Political Action Committee

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date		
Contributions (other than loans) From:  (a) Individuals/Persons Other  Than Political Committees				
(i) Itemized (use Schedule A)	30175.30	206390.19		
(ii) Unitemized	707.59	4711.83		
(iii) TOTAL (add Lines 11(a)(i) and (ii)▶	30882.89	211102.02		
(b) Political Party Committees	0.00	0.00		
(such as PACs)(d) Total Contributions (add Lines	12500.00	73500.00		
11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	43382.89	284602.02		
. Transfers From Affiliated/Other Party Committees	0.00	0.00		
. All Loans Received	0.00	0.00		
Loan Repayments Received     Offsets To Operating Expenditures	0.00	0.00		
(Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	682.30	2497.01		
to Federal Candidates and Other Political Committees	0.00	0.00		
. Other Federal Receipts (Dividends, Interest, etc.)	0.00	0.00		
. Transfers from Non-Federal and Levin Funds  (a) Non-Federal Account	7			
(from Schedule H3)	0.00	0.00		
(b) Levin Funds (from Schedule H5)	0.00	0.00		
(c) Total Transfers (add 18(a) and 18(b))	0.00	0.00		
. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))▶	44065.19	287099.03		
. Total Federal Receipts (subtract Line 18(c) from Line 19)▶	44065.19	287099.03		

#### **DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

	II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date		
(a)	rating Expenditures: — Allocated Federal/Non-Federal Activity (from Schedule H4)		Calculate Fall to Bate		
	(i) Federal Share	0.00	0.00		
	(ii) Non-Federal Share	0.00	0.00		
	Other Federal Operating				
	Expenditures	682.30	2637.43		
. ,	Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))▶	682.30	2637.43		
	sfers to Affiliated/Other Party				
	mitteestributions to	0.00	0.00		
Fede and	eral Candidates/Committees Other Political Committees	5000.00	265000.00		
	pendent Expenditures	0.00	0.00		
25. Coor	Schedule E)rdinated Party Expenditures	3.55	0.00		
(2 U (use	.S.C. §441a(d)) Schedule F)	0.00	0.00		
26. Loar	n Repayments Made	0.00	0.00		
	,	000	0.00		
	ns Made Inds of Contributions To:	0.00	0.00		
(a)	Individuals/Persons Other Than Political Committees	0.00	0.00		
	-				
	Political Party Committees  Other Political Committees	0.00	0.00		
( )	(such as PACs)	0.00	0.00		
(d)	Total Contribution Refunds				
	(add Lines 28(a), (b), and (c))▶	0.00	0.00		
29. Othe	or Disbursements	0.00	0.00		
n Enda	eral Election Activity (2 U.S.C. §431(20))				
	Allocated Federal Election Activity				
	(from Schedule H6)	0.00	0.00		
	(i) Federal Share	0.00	0.00		
	(ii) "Levin" Share	0.00	0.00		
(b)	Federal Election Activity Paid Entirely	0.00	0.00		
(c)	With Federal Funds  Total Federal Election Activity (add	0.00	0.00		
(3)	Lines 30(a)(i), 30(a)(ii) and 30(b))▶	0.00	0.00		
1. Total	Disbursements (add Lines 21(c), 22,				
	24, 25, 26, 27, 28(d), 29 and 30(c))	5682.30	267637.43		
2. Total	Federal Disbursements				
	tract Line 21(a)(ii) and Line 30(a)(ii)				
from	Line 31)	5682.30	267637.43		

#### **DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
3. Total Contributions (other than loans) (from Line 11(d), page 3)	43382.89	284602.02
4. Total Contribution Refunds (from Line 28(d))	0.00	0.00
5. Net Contributions (other than loans) (subtract Line 34 from Line 33)	43382.89	284602.02
6. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))▶	682.30	2637.43
7. Offsets to Operating Expenditures (from Line 15, page 3)	682.30	2497.01
8. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	140.42

Name of Employer

Receipt For:

C.

Securities Industry and Financial Mark

## SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS

Use separate schedule(s) for each category of the Detailed Summary Page

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

FOR LINE NUMBER:					PAGE		6	OF		35	
(check only one)											
	X	11a		11b		11c		12			
		13		14		15		16	5		17

Memo Item

or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Dan Arnold Date of Receipt Mailing Address 1 Beacon St FI 22 2016 City State Zip Code Transaction ID: E0D300C2315047899E70 02108-3106 MA **Boston** Amount of Each Receipt this Period FEC ID number of contributing 3000.00 federal political committee. Memo Item Name of Employer Occupation LPL Financial President Receipt For: Aggregate Year-to-Date ▼ Primary General 3000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Kenneth E. Bentsen Jr. Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1000 Washington DC 20005 Amount of Each Receipt this Period FEC ID number of contributing 192.35 federal political committee.

Primary General Other (specify) ▼	3462.30	
Full Name (Last, First, Middle Initial) Kenneth E. Bentsen Jr.  Mailing Address 1101 New York Ave NW 8th Floor		Date of Receipt  08 17 2016
City Washington FEC ID number of contributing	State Zip Code DC 20005	Transaction ID: 20160815115257-1000  Amount of Each Receipt this Period  192.35
Name of Employer Securities Industry and Financial Mark	Occupation President & CEO	Memo Item
Receipt For:  Primary  Other (specify)	Aggregate Year-to-Date ▼  3462.30	

Occupation

SUBTOTAL of Receipts This Page (optional).....

TOTAL This Period (last page this line number only).....

President & CEO

Aggregate Year-to-Date ▼

# SCHEDULE A (FEC Form 3X)

FOR LINE NUMBER: (check only one) PAGE 7 OF Use separate schedule(s)

35

TEMIZED RECEIPTS	for each category of the Detailed Summary Page	X   11a
Any information copied from such Reports and Sta or for commercial purposes, other than using the r		
NAME OF COMMITTEE (In Full) Securities Industry and Financial	Markets Association Political A	action Committee
Receipt For:  Primary General  Other (specify) ▼	State Zip Code DC 20005  C  Occupation  President & CEO  Aggregate Year-to-Date ▼  3462.30	Date of Receipt  M M / D D / Y Y Y Y Y  08 31 2016  Transaction ID: 2016082910560-1000  Amount of Each Receipt this Period  192.35  Memo Item
Full Name (Last, First, Middle Initial)  Richard Bindler  Mailing Address 1345 Avenue Of The Americas  City  New York  FEC ID number of contributing federal political committee.  Name of Employer  Alliance Bernstein  Receipt For:  Primary  General  Other (specify)	State Zip Code NY 10105-0302  C  Occupation Senior Managing Director Aggregate Year-to-Date ▼  575.00	Date of Receipt    M
Full Name (Last, First, Middle Initial)  Lisa J. Bleier  Mailing Address 1101 New York Ave NW 8th Floor  City Washington  FEC ID number of contributing federal political committee.  Name of Employer Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code DC 20005  C  Occupation MD, Fed Gov't Rel & AGC  Aggregate Year-to-Date ▼  346.14	Date of Receipt  08 03 2016  Transaction ID: 20160729165258-1001  Amount of Each Receipt this Period  19.23  Memo Item
SUBTOTAL of Receipts This Page (optional)	<b>&gt;</b>	786.58
TOTAL This Period (last page this line number or	nly)	

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER:					PAGE		8	OF	35	
(check only one)										
	X	11a		11b		11c		12		
		13		14		15		16		17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

or for commercial purposes, other than using t	he name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) Securities Industry and Finance	cial Markets Association Political Ac	etion Committee
Full Name (Last, First, Middle Initial) Lisa J. Bleier		Date of Receipt
Mailing Address 1101 New York Ave NW 8th Floor		08 17 2016 _
City Washington	State Zip Code DC 20005	Transaction ID : 20160815115257-1001  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	19.23
Name of Employer Securities Industry and Financial Mark	Occupation MD, Fed Gov't Rel & AGC	Memo Item
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼  346.14	
Full Name (Last, First, Middle Initial) Lisa J. Bleier		Date of Receipt
Mailing Address 1101 New York Ave NW 8th Floor City Washington	State Zip Code DC 20005	08 31 2016  Transaction ID : 2016082910560-1001  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	19.23  Memo Item
Name of Employer Securities Industry and Financial Mark	Occupation MD, Fed Gov't Rel & AGC	Memo item
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼  346.14	
Full Name (Last, First, Middle Initial)  Ananias Blocker		Date of Receipt
Mailing Address 1101 New York Ave NW 8th Floor		08 03 2016
City Washington	State Zip Code DC 20005	Transaction ID : 20160729165258-1002  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	300.00
Name of Employer Securities Industry and Financial Mark	Occupation  Exec VP, Pub Pol & Advoc	Memo Item
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼  5000.00	
SUBTOTAL of Receipts This Page (optional).		338.46
TOTAL This Period (last page this line number	or only)	

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER:					PAGE		9	OF		35	
(0	(check only one)										
	X	11a		11b		11c		12			
		13		14		15		16			17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

or for	r commercial purposes, other than using the	name and address of any political committee to	solicit contributions from such committee.
> s	<u> </u>	Markets Association Political Act	ion Committee
A. A. Ma	Ananias Blocker  ailing Address 1101 New York Ave NW 8th Floor  ty  //ashington  EC ID number of contributing deral political committee.  ame of Employer eccurities Industry and Financial Mark eccipt For:  Primary General Other (specify)   ull Name (Last, First, Middle Initial)	State Zip Code DC 20005  C  Occupation  Exec VP, Pub Pol & Advoc  Aggregate Year-to-Date ▼  5000.00	Date of Receipt  M M / 2016  Transaction ID: 20160815115257-1002  Amount of Each Receipt this Period  200.00  Memo Item
Re	Charlottle Bradbury  ailing Address 4 Edgehill Rd  ty  ttle Rock  EC ID number of contributing deral political committee.  ame of Employer  eceipt For:  Primary General  Other (specify) ▼	State Zip Code AR 72207-5444  C  Occupation  Homemaker  Aggregate Year-to-Date ▼	Date of Receipt  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
Cit Li FE fee Na	All Name (Last, First, Middle Initial)  Curt Bradbury  ailing Address PO Box 3507  111 Center St  ty  ittle Rock  EC ID number of contributing deral political committee.  ame of Employer tephens Inc. eccipt For:  Primary General  Other (specify) ▼	State Zip Code AR 72203-3507  C  Occupation Chief Operating Officer  Aggregate Year-to-Date ▼  5000.00	Date of Receipt  M M
SUB	BTOTAL of Receipts This Page (optional)		10200.00
тот	AL This Period (last page this line number o	nly)	

## SCHEDULE A (FEC Form 3X)

FOR LINE NUMBER: PAGE 10 OF Use separate schedule(s) (check only one)

_	EMIZED RECEIPTS		for each category of the Detailed Summary Page	11a
	y information copied from such Reports and Sta for commercial purposes, other than using the			
$\left\langle \right\rangle$	NAME OF COMMITTEE (In Full) Securities Industry and Financial			
Δ.	Full Name (Last, First, Middle Initial)  Kyle L. Brandon  Mailing Address 120 Broadway  35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary  General  Other (specify)	State NY  C  Occupation MD, Dir of F  Aggregate		Date of Receipt    M
3.	Full Name (Last, First, Middle Initial)  Kyle L. Brandon  Mailing Address 120 Broadway 35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State NY  C  Occupation MD, Dir of F  Aggregate	Zip Code 10271	Date of Receipt  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
<b>C</b> .	Full Name (Last, First, Middle Initial)  Kyle L. Brandon  Mailing Address 120 Broadway 35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State NY  C  Occupation MD, Dir of F  Aggregate		Date of Receipt  08 31 2016  Transaction ID: 2016082910560-1002  Amount of Each Receipt this Period  96.15  Memo Item
s	UBTOTAL of Receipts This Page (optional)		·····	288.45
Т	OTAL This Period (last page this line number of	nly)	·····	

### SCHEDULE A (FEC Form 3X)

FOR LINE NUMBER: PAGE 11 OF Use separate schedule(s) (check only one)

TEMIZED RECEIPTS	for each category of the Detailed Summary Page	X     11a     11b     11c     12       13     14     15     16     17
or for commercial purposes, other than using	d Statements may not be sold or used by any p the name and address of any political committe	
NAME OF COMMITTEE (In Full) Securities Industry and Finan	cial Markets Association Political	Action Committee
Full Name (Last, First, Middle Initial)  Timothy W. Cameron  Mailing Address 1101 New York Ave NW  8th Floor  City  Washington  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary  General  Other (specify)	State Zip Code DC 20005  C  Occupation MD Asset Mgmt Group  Aggregate Year-to-Date ▼  2000.00	Date of Receipt    M
Full Name (Last, First, Middle Initial)  Kimberly H. Chamberlain  Mailing Address 1101 New York Ave NW 8th Floor  City  Washington  FEC ID number of contributing federal political committee.  Name of Employer Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code DC 20005  C  Occupation MD, Associate Gen Counsel  Aggregate Year-to-Date ▼  693.00	Date of Receipt  08 03 2016  Transaction ID: 20160729165258-1004  Amount of Each Receipt this Period  38.50  Memo Item
Full Name (Last, First, Middle Initial)  Kimberly H. Chamberlain  Mailing Address 1101 New York Ave NW 8th Floor  City Washington  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code DC 20005  C  Occupation MD, Associate Gen Counsel  Aggregate Year-to-Date ▼  693.00	Date of Receipt    Mark
SUBTOTAL of Receipts This Page (optional)	)	1077.00
TOTAL This Period (last page this line numb	per only)	

FOR LINE NUMBER: PAGE 12 OF 35 Use separate schedule(s) (check only one) for each category of the **X** 11a 11b 12 11c Detailed Summary Page

13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Kimberly H. Chamberlain Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 2016 31 City Zip Code State Transaction ID: 2016082910560-1003 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, Associate Gen Counsel Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. Brahm Cramer Date of Receipt Mailing Address 1345 Avenue Of The Americas 80 02 2016 City State Zip Code Transaction ID: 1010A29C47AF587BAE2 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein Co-Chief Investment Officer of Real Es Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 575,00 Full Name (Last, First, Middle Initial) **c.** Laurence Cranch Date of Receipt Mailing Address 1345 Avenue Of The Americas 02 08 2016 City State Zip Code Transaction ID: B48BD58446D68657698 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation General Counsel Alliance Bernstein Receipt For: Aggregate Year-to-Date ▼ Primary General 575.00 Other (specify) 1188.50 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 13 OF 35 Use separate schedule(s) (check only one) for each category of the **X** 11a 11b 12 11c Detailed Summary Page

14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Cheryl L. Crispen Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 03 2016 City State Zip Code Transaction ID: 20160729165258-1006 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Memo Item Name of Employer Occupation EVP, Communication & Mktg Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 1730.70 Other (specify) Full Name (Last, First, Middle Initial) B. Cheryl L. Crispen Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 80 17 2016 City State Zip Code Transaction ID: 20160815115257-1006 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark EVP, Communication & Mktg Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 1730.70 Full Name (Last, First, Middle Initial) **c.** Cheryl L. Crispen Date of Receipt Mailing Address 1101 New York Ave NW 31 2016 8th Floor City Zip Code State Transaction ID: 2016082910560-1005 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Memo Item Name of Employer Occupation EVP, Communication & Mktg Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 1730.70 Other (specify) 288.45 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

## SCHEDULE A (FEC Form 3X)

FOR LINE NUMBER: PAGE 14 OF Use separate schedule(s) (check only one)

IT	EMIZED RECEIPTS		for each category of the Detailed Summary Page	X   11a
Ar or	y information copied from such Reports and S for commercial purposes, other than using the	Statements me and a	ay not be sold or used by any peaddress of any political committee	erson for the purpose of soliciting contributions to solicit contributions from such committee.
	NAME OF COMMITTEE (In Full)  Securities Industry and Financia	al Market	s Association Political A	Action Committee
Α.	<u> </u>	Date of Receipt		
	Mailing Address 1345 Avenue of the Americas  City	State	Zip Code	08 02 2016 Transaction ID : 1EF59EEA6989F3EB5BB
	New York  FEC ID number of contributing federal political committee.	C	10105-0302	Amount of Each Receipt this Period  575.00
	Name of Employer Alliance Bernstein	Occupation Analyst	1	Memo Item
	Receipt For:  Primary  General  Other (specify)	Aggregate	Year-to-Date ▼ 575.00	
В.	Full Name (Last, First, Middle Initial) Bradley G. Edgell			Date of Receipt
	Mailing Address 1101 New York Ave NW 8th Floor	08 03 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y		
	City Washington	State DC	Zip Code 20005	Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	С		38.50
	Name of Employer Securities Industry and Financial Mark	Occupation MD, Fed G	n ov't Relations	Memo Item
	Receipt For:  Primary General  Other (specify) ▼	Aggregate	Year-to-Date ▼  693.00	
<del></del>	Full Name (Last, First, Middle Initial) Bradley G. Edgell			Date of Receipt
	Mailing Address 1101 New York Ave NW 8th Floor			08 17 2016
	City Washington	State DC	Zip Code 20005	Transaction ID: 20160815115257-1007  Amount of Each Receipt this Period
	FEC ID number of contributing federal political committee.	С		38.50
	Name of Employer	Occupation	1	Memo Item
	Securities Industry and Financial Mark Receipt For:		ov't Relations	_
	Primary General Other (specify) ▼	Aggregate	Year-to-Date ▼ 693.00	
s	UBTOTAL of Receipts This Page (optional)			652.00
Т	OTAL This Period (last page this line number	only)	·····	

	FOF	R LINE	NU	IMBER	:	PAGE	•	15 OF	:	35
Use separate schedule(s)	(che	ck only	or	ne)						
for each category of the Detailed Summary Page	×	11a		11b		11c		12		
zotanou zummary r ago		13		14		15		16		17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Bradley G. Edgell Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 31 2016 City State Zip Code Transaction ID: 2016082910560-1006 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, Fed Gov't Relations Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. Tracy H. Eichler Date of Receipt Mailing Address 120 Broadway 35th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1008 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 43.48 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Private Client Group Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 709.89

Tracy H. Eichler		Date of Receipt
Mailing Address 120 Broadway 35th Floor		08 17 2016
City New York	State Zip Code NY 10271	Transaction ID : 20160815115257-1008  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	43.48
Name of Employer Securities Industry and Financial Mark	Occupation  MD, Private Client Group	Memo Item
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼ 709.89	-

SUBTOTAL of Receipts This Page (optional).....

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C.

Use separate schedule(s) for each category of the Detailed Summary Page

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		13		14		15		16		17

	and Statements may not be sold or used by any persignities the name and address of any political committee to					
NAME OF COMMITTEE (In Full)	noial Markets Association Political As	ction Committee				
/	ncial Markets Association Political Ad	CHOIT COMMINICE				
Full Name (Last, First, Middle Initial) <b>A.</b> Tracy H. Eichler		Date of Receipt				
Mailing Address 120 Broadway 35th Floor		08 31 _ 2016 _				
City	State Zip Code	Transaction ID : 2016082910560-1007				
New York	NY 10271	Amount of Each Receipt this Period				
FEC ID number of contributing federal political committee.	С	43.48				
Name of Employer	Occupation	Memo Item				
Securities Industry and Financial Mark	MD, Private Client Group					
Receipt For:	Aggregate Year-to-Date ▼	1				
Primary General						
Other (specify) ▼	709.89					
Full Name (Last, First, Middle Initial)  Lisa Fues		Date of Receipt				
Mailing Address 1101 New York Ave NW		M = M / D = D / Y = Y = Y = Y = Y = Y = Y = Y = Y = Y				
8th Floor City	State Zip Code	08 03 2016 Transaction ID: 20160729165258-1010				
Washington	DC 20005	Amount of Each Receipt this Period				
FEC ID number of contributing						
federal political committee.	19.23					
·	Occupation	Memo Item				
Name of Employer Securities Industry and Financial Mark	Occupation	L				
Receipt For:	MD, CEO's Office	-				
Receipt For: Primary General	Aggregate Year-to-Date ▼					
Other (specify)	346.14					
Full Name (Last, First, Middle Initial)  C. Lisa Fues		Date of Receipt				
Mailing Address 1101 New York Ave NW 8th Floor		08 17 2016				
City	State Zip Code	Transaction ID : 20160815115257-1010				
Washington	DC 20005	Amount of Each Receipt this Period				
FEC ID number of contributing federal political committee.	C	19.23				
Name of Employer	Occupation	Memo Item				
Securities Industry and Financial Mark	MD, CEO's Office					
Receipt For:	Aggregate Year-to-Date ▼	]				
Primary General						
Other (specify) ▼	346.14					
SUBTOTAL of Receipts This Page (options	al)	81.94				
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### SCHEDULE A (FEC Form 3X)

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TEMIZED RECEIPTS	for each category of the Detailed Summary Page	X     11a     11b     11c     12       13     14     15     16     17
or for commercial purposes, other than using	nd Statements may not be sold or used by any p the name and address of any political committe	
NAME OF COMMITTEE (In Full) Securities Industry and Finar	ncial Markets Association Political	Action Committee
Full Name (Last, First, Middle Initial) Lisa Fues  Mailing Address 1101 New York Ave NW  8th Floor  City  Washington	State Zip Code DC 20005	Date of Receipt    M
FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	Occupation MD, CEO's Office  Aggregate Year-to-Date ▼  346.14	19.23  Memo Item
Full Name (Last, First, Middle Initial)  Marin Gibson  Mailing Address 120 Broadway 35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code NY 10271  C  Occupation MD, Associate Gen Counsel  Aggregate Year-to-Date ▼  1730.70	Date of Receipt    M = M
Full Name (Last, First, Middle Initial)  Marin Gibson  Mailing Address 120 Broadway  35th Floor  City  New York  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary  General  Other (specify)	State Zip Code NY 10271  C  Occupation MD, Associate Gen Counsel  Aggregate Year-to-Date ▼  1730.70	Date of Receipt    M
SUBTOTAL of Receipts This Page (optional	)	211.53
TOTAL This Period (last page this line num	ber only)	

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Marin Gibson Date of Receipt Mailing Address 120 Broadway 35th Floor 31 2016 City State Zip Code Transaction ID: 2016082910560-1010 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 96.15 federal political committee. Memo Item Name of Employer Occupation MD, Associate Gen Counsel Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 1730.70 Other (specify) Full Name (Last, First, Middle Initial) B. James Gingrich Date of Receipt Mailing Address 1345 Avenue Of The Americas 08 02 2016 City State Zip Code Transaction ID: 1FCEAF9DDE80C50F669 New York NY 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein COO Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 575.00 Full Name (Last, First, Middle Initial) c. Robert Keith Date of Receipt Mailing Address 1345 Avenue Of The Americas 02 08 2016 City State Zip Code Transaction ID: A4E54E14008FEB92CA2 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Head of Institutional and Retail Clien AllianceBernstein L.P. Receipt For: Aggregate Year-to-Date ▼ Primary General 575.00 Other (specify) 1246.15 SUBTOTAL of Receipts This Page (optional).....

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for each category of the Detailed Summary Page	<b>X</b> 11a	11b	11c	12	
Dotailed Carrinary 1 age	13	14	15	16	

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) James P. Kerr Date of Receipt Mailing Address 8 3rd St NW 02 2016 City Zip Code State Transaction ID: FEDEAAE8C66E4C379315 MT **Great Falls** 59404-2869 Amount of Each Receipt this Period FEC ID number of contributing 2500.00 federal political committee. Memo Item Name of Employer Occupation D.A. Davidson & Company Receipt For: Aggregate Year-to-Date ▼ Primary General 2500.00 Other (specify) Full Name (Last, First, Middle Initial) B. Christopher B. Killian Date of Receipt Mailing Address 120 Broadway 35th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1013 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Head of Securitizaton Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 693.00 Full Name (Last, First, Middle Initial) c. Christopher B. Killian Date of Receipt Mailing Address 120 Broadway 35th Floor 08 17 2016 City Zip Code State Transaction ID: 20160815115257-1013 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing С 38.50 federal political committee. Memo Item Name of Employer Occupation MD, Head of Securitizaton Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) 2577.00 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

	FO	R LINE	NU	IMBER	:	PAGE	2	20 OF	35
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for each category of the Detailed Summary Page	×	11a		11b		11c		12	
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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Christopher B. Killian Date of Receipt Mailing Address 120 Broadway 35th Floor 31 2016 City Zip Code State Transaction ID: 2016082910560-1012 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, Head of Securitizaton Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. David B. Krasner Date of Receipt Mailing Address 120 Broadway 35th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1014 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 192.35 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark Chief Fin/Admin Officer Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 3462.30 Full Name (Last, First, Middle Initial) c. David B. Krasner Date of Receipt Mailing Address 120 Broadway 35th Floor 08 17 2016 City State Zip Code Transaction ID: 20160815115257-1014 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing С 192.35 federal political committee. Memo Item Name of Employer Occupation Chief Fin/Admin Officer Securities Industry and Financial Mark

Aggregate Year-to-Date ▼

3462.30

Receipt For:

Primary

Other (specify)

General

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14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) David B. Krasner Date of Receipt Mailing Address 120 Broadway 35th Floor 2016 31 City Zip Code State Transaction ID: 2016082910560-1013 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 192.35 federal political committee. Memo Item Name of Employer Occupation Chief Fin/Admin Officer Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 3462.30 Other (specify) Full Name (Last, First, Middle Initial) B. Nancy J. Lancia Date of Receipt Mailing Address 120 Broadway 35th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1015 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, State Gov Relations Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 693,00 Full Name (Last, First, Middle Initial) c. Nancy J. Lancia Date of Receipt Mailing Address 120 Broadway 35th Floor 08 17 2016 City Zip Code State Transaction ID: 20160815115257-1015 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing С 38.50 federal political committee. Memo Item Name of Employer Occupation MD, State Gov Relations Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) 269.35 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

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for each category of the Detailed Summary Page 14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Nancy J. Lancia Date of Receipt Mailing Address 120 Broadway 35th Floor 2016 31 City Zip Code State Transaction ID: 2016082910560-1014 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, State Gov Relations Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. Theodore Lazo Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1016 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Associate Gen Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 693,00 Full Name (Last, First, Middle Initial) Theodore Lazo Date of Receipt Mailing Address 1101 New York Ave NW 08 17 2016 8th Floor City Zip Code State Transaction ID: 20160815115257-1016 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Associate Gen Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) 115.50 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

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13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Theodore Lazo Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 2016 31 City Zip Code State Transaction ID: 2016082910560-1015 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, Associate Gen Counsel Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. Daniel Loewy Date of Receipt Mailing Address 1345 Avenue Of The Americas 80 02 2016 City State Zip Code Transaction ID: 2285EF775866E875378 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation AllianceBernstein L.P. Director Dynamic Asset Allocation Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 575.00 Full Name (Last, First, Middle Initial) c. Mark Manley Date of Receipt Mailing Address 1345 Avenue Of The Americas 02 2016 City State Zip Code Transaction ID: D2154DA641700A845BA NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 525.00 federal political committee. Memo Item Name of Employer Occupation Senior Vice President AllianceBernstein L.P. Receipt For: Aggregate Year-to-Date ▼ Primary General 525.00 Other (specify) 1138.50 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Laura A. Martin Date of Receipt Mailing Address 120 Broadway 35th Floor 03 2016 City Zip Code State Transaction ID: 20160729165258-1017 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, AGC AMG Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) Full Name (Last, First, Middle Initial) B. Laura A. Martin Date of Receipt Mailing Address 120 Broadway 35th Floor 80 17 2016 City State Zip Code Transaction ID: 20160815115257-1017 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, AGC AMG Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 693,00 Full Name (Last, First, Middle Initial) c. Laura A. Martin Date of Receipt Mailing Address 120 Broadway 35th Floor 08 31 2016 City Zip Code State Transaction ID: 2016082910560-1016 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 38.50 federal political committee. Memo Item Name of Employer Occupation MD, AGC AMG Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 693.00 Other (specify) 115.50 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

FOR LINE NUMBER: PAGE 25 OF 35 Use separate schedule(s) (check only one) for each category of the **X** 11a 11b 12 11c Detailed Summary Page

14 13 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Carter K. McDowell Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 03 2016 City State Zip Code Transaction ID: 20160729165258-1018 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 288.46 federal political committee. Memo Item Name of Employer Occupation MD, Associate Gen Counsel Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) Full Name (Last, First, Middle Initial) B. Carter K. McDowell Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 80 17 2016 City State Zip Code Transaction ID: 20160815115257-1018 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 288.46 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Associate Gen Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) Full Name (Last, First, Middle Initial) c. Carter K. McDowell Date of Receipt Mailing Address 1101 New York Ave NW 8th Floor 08 31 2016 City Zip Code State Transaction ID: 2016082910560-1017 DC Washington 20005 Amount of Each Receipt this Period FEC ID number of contributing 96.18 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Associate Gen Counsel Receipt For: Aggregate Year-to-Date ▼ Primary General 5000.00 Other (specify) 673.10 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Gregory McShea Date of Receipt Mailing Address 1801 Market St 30 2016 City State Zip Code Transaction ID: 49A957F4742644DAA3E0 19103-1602 PΑ Philadelphia Amount of Each Receipt this Period FEC ID number of contributing 500.00 federal political committee. Memo Item Name of Employer Occupation General Counsel Janney Montgomery Scott LLC Receipt For: Aggregate Year-to-Date ▼ Primary General 500.00 Other (specify) Full Name (Last, First, Middle Initial) B. Jim A. Moerkerke Date of Receipt Mailing Address 8 3rd St NW Davidson Bldg 80 01 2016 City State Zip Code Transaction ID: 915D3CDCFA6D4961ADD6 **Great Falls** MT 59404-2869 Amount of Each Receipt this Period FEC ID number of contributing 250.00 federal political committee. Memo Item Name of Employer Occupation **Davidson Companies** Sr. VP

Other (specify) ▼	250.00	
Full Name (Last, First, Middle Initial)  Jay S Nydick  Mailing Address 1345 Avenue Of The Amer  City New York  FEC ID number of contributing federal political committee.  Name of Employer  Alliance Bernstein  Receipt For:  Primary General  Other (specify)	State Zip Code NY 10105-0302  C  Occupation Co-Chief Investment Officer of Real Es  Aggregate Year-to-Date ▼  575.00	Date of Receipt  08 02 2016  Transaction ID: 47BEAA7D6124DC0C1B4  Amount of Each Receipt this Period  575.00  Memo Item
SURTOTAL of Receipts This Page (ontional)		1325.00

Aggregate Year-to-Date ▼

Receipt For:

Primary

General

SUBTOTAL of Receipts This Page (optional).....

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Joseph Gerard Paul Date of Receipt Mailing Address 1345 Avenue of the Americas 02 2016 City State Zip Code Transaction ID: 7164B9A723FF0086214 NY 10105-0302 New York Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein Chief Investment Officer, Strategic Eq. Receipt For: Aggregate Year-to-Date ▼ Primary General 575.00 Other (specify) Full Name (Last, First, Middle Initial) B. Douglas Peebles Date of Receipt Mailing Address 1345 Avenue Of The Americas 80 02 2016 City State Zip Code Transaction ID: A7420A6C8057FF213A4 New York NY 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein Chief Investment Officer Fixed Income Receipt For:

Other (specify) ▼	575.00	
Full Name (Last, First, Middle Initial) Thomas F. Price  Mailing Address 120 Broadway 35th Floor  City New York  FEC ID number of contributing federal political committee.  Name of Employer  Securities Industry and Financial Mark  Receipt For:  Primary General Other (specify)	State Zip Code NY 10271  C  Occupation MD, Tech & Operations  Aggregate Year-to-Date ▼  865.97	Date of Receipt  08 03 2016  Transaction ID: 20160729165258-1020  Amount of Each Receipt this Period  43.48  Memo Item

Aggregate Year-to-Date ▼

Primary

C.

General

SUBTOTAL of Receipts This Page (optional).....

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Detailed Summary Page 13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Thomas F. Price Date of Receipt Mailing Address 120 Broadway 35th Floor 2016 City Zip Code State Transaction ID: 20160815115257-1020 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 43.48 federal political committee. Memo Item Name of Employer Occupation MD, Tech & Operations Securities Industry and Financial Mark Receipt For: Aggregate Year-to-Date ▼ Primary General 865.97 Other (specify) Full Name (Last, First, Middle Initial) B. Thomas F. Price Date of Receipt Mailing Address 120 Broadway 35th Floor 80 31 2016 City State Zip Code Transaction ID: 2016082910560-1019 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 141.75 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Tech & Operations Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 865.97 Full Name (Last, First, Middle Initial) c. Kevin Simms Date of Receipt Mailing Address 1345 Avenue Of The Americas 02 08 2016 City State Zip Code Transaction ID: 20726B4E9ABC476B1C0 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Chief Investment Officer of Global and Alliance Bernstein Receipt For: Aggregate Year-to-Date ▼ Primary General 575.00 Other (specify) 760.23 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

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13 14 15 16 Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Karl Kenneth Sprules Date of Receipt Mailing Address 1345 Avenue Of The Americas 2016 02 City Zip Code State Transaction ID: 130B762794F03FEB632 NY New York 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein Deputy Chief Technology Officer Receipt For: Aggregate Year-to-Date ▼ Primary General 575.00 Other (specify) Full Name (Last, First, Middle Initial) B. Thomas P. Tierney Date of Receipt Mailing Address 120 Broadway 35th Floor 80 03 2016 City State Zip Code Transaction ID: 20160729165258-1022 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 21.74 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Member Engagement Receipt For: Aggregate Year-to-Date ▼ Primary General Other (specify) 381.28 Full Name (Last, First, Middle Initial) Thomas P. Tierney Date of Receipt Mailing Address 120 Broadway 08 17 2016 35th Floor City Zip Code State Transaction ID: 20160815115257-1022 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 21.74 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Member Engagement Receipt For: Aggregate Year-to-Date ▼ Primary General 381.28 Other (specify) 618.48 SUBTOTAL of Receipts This Page (optional)..... TOTAL This Period (last page this line number only).....

Use separate schedule(s) for each category of the Detailed Summary Page

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee. NAME OF COMMITTEE (In Full) Securities Industry and Financial Markets Association Political Action Committee Full Name (Last, First, Middle Initial) Thomas P. Tierney Date of Receipt Mailing Address 120 Broadway 35th Floor 31 2016 City State Zip Code Transaction ID: 2016082910560-1021 NY New York 10271 Amount of Each Receipt this Period FEC ID number of contributing 21.74 federal political committee. Memo Item Name of Employer Occupation Securities Industry and Financial Mark MD, Member Engagement Receipt For: Aggregate Year-to-Date ▼ Primary General 381.28 Other (specify) Full Name (Last, First, Middle Initial) B. Robert Van Brugge Date of Receipt Mailing Address 1345 Avenue Of The Americas 80 02 2016 City State Zip Code Transaction ID: F8515F094160C9D17FC New York NY 10105-0302 Amount of Each Receipt this Period FEC ID number of contributing 575.00 federal political committee. Memo Item Name of Employer Occupation Alliance Bernstein Chairman and CEO, SCB LLC Receipt For: Aggregate Year-to-Date ▼ Primary General

Other (specify) ▼	575.00	
Full Name (Last, First, Middle Initial) James P Wallin		Date of Receipt
Mailing Address 1345 Avenue of the Ameri	icas	08 01 2016
City New York	State Zip Code NY 10105-0302	Transaction ID: 5312955B2C8F4509B375  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	500.00
Name of Employer	Occupation	Memo Item
AllianceBernstein L.P.	Senior VP	
Receipt For:  Primary General  Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	
IIDTOTAL of Descripts This Descriptoral		1096.74

SUBTOTAL of Receipts This Page (optional).....

TOTAL This Period (last page this line number only).....

### S П

SCHEDULE A (FEC Form 3X)	Use separate sche	FOR LINE NUMBER: PAGE 31 OF 35
ITEMIZED RECEIPTS	for each category of Detailed Summary	of the
	ne name and address of any political	by any person for the purpose of soliciting contributions committee to solicit contributions from such committee.  olitical Action Committee
Full Name (Last, First, Middle Initial)  A. Branch Bank & Trust Political Action  Mailing Address 150 South Stratford Road  Suite 401  City  Winston Salem  FEC ID number of contributing federal political committee.  Name of Employer  Receipt For:  Primary  General  Other (specify)	State Zip Code NC 27104  C C00075291  Occupation  Aggregate Year-to-Date ▼	Date of Receipt    M
Full Name (Last, First, Middle Initial)  B. Hsbc North America Political Actio Mailing Address 1401 I Street NW Suite 500  City Washington  FEC ID number of contributing federal political committee.  Name of Employer  Receipt For: Primary General Other (specify)	State Zip Code DC 20005  C C00033423  Occupation  Aggregate Year-to-Date ▼	Date of Receipt  M M M / D D / Y 2016  Transaction ID: 1AD2DE6D4681467BA833  Amount of Each Receipt this Period  2500.00  Memo Item
Full Name (Last, First, Middle Initial)  C. Ubs Americas Inc. Political Action Mailing Address 677 Washington Boulevard C/O Per Dyrvik  City Stamford  FEC ID number of contributing federal political committee.  Name of Employer  Receipt For: Primary General Other (specify)	State Zip Code CT 06901  C C00012245  Occupation  Aggregate Year-to-Date ▼	Date of Receipt  M M M O2 2016  Transaction ID: 03E480B7BF9F452A9B0I  Amount of Each Receipt this Period  5000.00  Memo Item
SUBTOTAL of Receipts This Page (optional)	1	12500.00

TOTAL This Period (last page this line number only).....

### S IT

SCHEDULE A (FEC Form 3X) ITEMIZED RECEIPTS	)	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE NUMBER: PAGE 32 OF 35 (check only one)  11a 11b 11c 12 13 14
Any information copied from such Reports and or for commercial purposes, other than using	d Statements mathe name and a	ay not be sold or used by any p ddress of any political committee	erson for the purpose of soliciting contributions e to solicit contributions from such committee.
NAME OF COMMITTEE (In Full)  Securities Industry and Finance	cial Markets	s Association Political	Action Committee
Full Name (Last, First, Middle Initial)  A. SIFMA			Date of Receipt
Mailing Address 1101 New York Avenue, NV 8th Floor	W		08 29 2016
City Washington	State DC	Zip Code 20005	Transaction ID : D4B496B5C1DF4F4495DB  Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		682.30
Name of Employer	Occupation		Memo Item Reimbursement of Bank Fees
Receipt For:  Primary General  Other (specify) ▼	Aggregate	Year-to-Date ▼ 2497.01	]
Full Name (Last, First, Middle Initial) <b>B.</b>			Date of Receipt
Mailing Address			M = M / D = D / Y = Y = Y
City	State	Zip Code	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		
Name of Employer	Occupation		Memo Item
Receipt For:  Primary General  Other (specify) ▼	Aggregate	Year-to-Date ▼	
Full Name (Last, First, Middle Initial)  C.			Date of Receipt
Mailing Address			M = M / D = D / Y = Y = Y
City	State	Zip Code	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С		
Name of Employer	Occupation		Memo Item
Receipt For:  Primary General  Other (specify) ▼	Aggregate	Year-to-Date ▼	
SUBTOTAL of Receipts This Page (optional).			682.30

TOTAL This Period (last page this line number only).....

TEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE I (check only 21b 27			
Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.  NAME OF COMMITTEE (In Full)					
Securities Industry and Financial M	arkets Association P	olitical Ac	tion Committee		
Full Name (Last, First, Middle Initial)  A. PNC Bank  Mailing Address 1400 K Street, NW			Date of Disbursement  M M / D D / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y		
	State Zip Code		- · · · · · · · · · · · · · · · · · · ·		
Washington Purpose of Disbursement Bank Fee	DC 20005	001	Transaction ID: 915775BA21405B9DEE1  Amount of Each Disbursement this Period		
Candidate Name	l	Category/ Type	16.00		
	nent For: Primary General Other (specify)		Memo Item		
Full Name (Last, First, Middle Initial)  3. PNC Bank			Date of Disbursement		
Mailing Address 1400 K Street, NW			08 02 2016		
,	State Zip Code DC 20005	001	Transaction ID : A69B41B7F5EFB907175  Amount of Each Disbursement this Period		
Candidate Name		Category/ Type	186.35		
	nent For:  Primary General  Other (specify)		Memo Item		
Full Name (Last, First, Middle Initial) C. PNC Bank			Date of Disbursement		
Mailing Address 1400 K Street, NW			08 05 2016		
Washington Purpose of Disbursement	State Zip Code DC 20005		Transaction ID: E6B545DE886E364E88D		
Credit Card Fee Candidate Name		001 Category/ Type	Amount of Each Disbursement this Period 472.00		
	nent For: Primary General Other (specify)	.,,,,	Memo Item		
SUBTOTAL of Disbursements This Page (optional)			674.35		
TOTAL This Period (last page this line number only).		·····			

ITEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the Detailed Summary Page	FOR LINE I (check only	one) 22 23 24 25 26
Any information copied from such Reports and Statem	nents may not be sold or used	27 I by any perso	28a 28b 28c 29 30t on for the purpose of soliciting contributions
or for commercial purposes, other than using the name NAME OF COMMITTEE (In Full)  Securities Industry and Financial M	ne and address of any political	committee to	solicit contributions from such committee.
Full Name (Last, First, Middle Initial)  A. PNC Bank			Date of Disbursement
Mailing Address 1400 K Street, NW			08 17 2016
Washington	State Zip Code DC 20005		Transaction ID: 0C1EC0B2A43130C5BB3
Purpose of Disbursement Credit Card Fee Candidate Name	[	001 Category/	Amount of Each Disbursement this Period
	nent For: Primary General Other (specify)	Type	7.95  Memo Item
Full Name (Last, First, Middle Initial) <b>B.</b>			Date of Disbursement
Mailing Address			
City S Purpose of Disbursement	State Zip Code		
Candidate Name	[	Category/ Type	Amount of Each Disbursement this Period
	nent For: Primary General Other (specify)		Memo Item
Full Name (Last, First, Middle Initial)  C.			Date of Disbursement
Mailing Address			
City	State Zip Code		
Purpose of Disbursement  Candidate Name	[	Category/ Type	Amount of Each Disbursement this Period
	nent For: Primary General Other (specify)		Memo Item
SUBTOTAL of Disbursements This Page (optional)  TOTAL This Period (last page this line number only)			7.95 682.30

SCHEDULE B (FEC Form 3X)		FOR LINE	NUMBER: PAGE 35 OF 35
TEMIZED DISBURSEMENTS	Use separate schedule(s) for each category of the	(check only	
	Detailed Summary Page	21b	22 <b>X</b> 23 24 25 26
		27	28a 28b 28c 29 30b
Any information copied from such Reports and Statem or for commercial purposes, other than using the name			
NAME OF COMMITTEE (In Full)	- and address of any pointed		
Securities Industry and Financial M	arkets Association F	Political Ac	tion Committee
Full Name (Last, First, Middle Initial)			
Majority Committee PACMc PAC			Date of Disbursement
Mailing Address PO Box 10134			08 15 2016
•	tate Zip Code		Transaction ID: 8889043BD9283B3CC14
Bakersfield Purpose of Disbursement	CA 93389-0134		
2016 Contribution		011	Amount of Each Disbursement this Period
Candidate Name		Category/	5000.00
Majority Committee PACMc PAC  Office Sought: House Disbursem	nent For: 2016	Туре	□ Manadam
Senate	Primary General  Other (specify) ▼		Memo Item
State: District:	Contribution		
Full Name (Last, First, Middle Initial)			
3. Stivers for Congress			Date of Disbursement
Mailing Address 4679 Winterset Dr			08 01 2016
Columbus	itate Zip Code OH 43220-8113		Transaction ID: 402B6CF4390CF45B4ED
Purpose of Disbursement Void 06-03-2016 Contribution, 2016 General		011	Amount of Each Disbursement this Period
Candidate Name		Category/	2500.00
Steve Stivers		Type	-2500.00
Senate	nent For: 2016  Primary		Memo Item
State: OH District: 15			
Full Name (Last, First, Middle Initial)			
Support To Ensure Victory Everywh	nere PAC-Steve PA	0	Date of Disbursement
Mailing Address 228 S Washington St Ste 115			08 15 2016
City	tate Zip Code		Transaction ID : DC146F1860D55F719EC
	VA 22314		11a115a0tion ID . DC 140F 1000D33F7 19EC
Purpose of Disbursement 2016 Contribution		011	Amount of Each Disbursement this Period
Candidate Name Support To Ensure Victory Everywhere F	PAC-Steve PAC	Category/ Type	2500.00
Senate	nent For: 2016 Primary General	· · · · · · · · · · · · · · · · · · ·	Memo Item
State: District:	Other (specify) ▼ Contribution		
2.55	Contribution		
SUBTOTAL of Disbursements This Page (optional)			5000.00
TOTAL This Period (last page this line number only)			5000.00